Medicaid Statistical Information System Process

(MSIS)

- ## What is Medicaid Statistical Information System (MSIS)?

The Balanced Budget Act (BBA) of 1997 requires that all States submit Medicaid Statistical Information Systems (MSIS) data to Center for Medicare & Medicaid Services (CMS). Medicaid Statistical Information System data are used by the Center for Medicare & Medicaid Services (CMS) to produce Medicaid program characteristics and utilization information for all the States. This information shows the State Medicaid activity

- ## Purpose

  - The purpose of Medicaid Statistical Information System (MSIS) is to collect, manage, analyze and disseminate information on eligible's, beneficiaries, utilization and payment for services covered by State Medicaid programs.
  - The individual paid claims and eligible information are used by Center for Medicare & Medicaid Services (CMS) for program analysis and research and to produce various public use reports which represent national Medicaid populations and expenditures.
  - These data serve as the primary source of Medicaid program statistical information not only for Center for Medicare & Medicaid Services (CMS) but also for the Congressional Budget Office, the Congressional Research Staff and other federal health agencies and organizations

- ## MSIS at a Glance

Required Submission Schedule	Quarterly (45 days following end of quarter)
Submission Logistics	Extract month following quarter end File (tapes) are mailed to CMS via courier
Number of files submitted	5

Files Sent	- ELIGIBLE Quarterly Recipient eligibility activity - CLAIMIP Quarterly Inpatient claims activity - CLAIMLT Quarterly Long-Term Care claims activity - CLAIMRX Quarterly Pharmacy claims activity - CLAIMOT Quarterly Other claims activity
Submitted to	CMS
File structure governance	MSIS Tape Specifications and Data Dictionary
Data reviews for acceptance	CMS Mathematica
Effective Date	1997
Population Included	All Eligibles

- ## File Name Description:

  - **ELIGIBLE.** This file contains one record for each person covered by Medicaid for at least one day during the reporting quarter. Individual ELIGIBLE records consist of demographic and monthly enrollment data.
  - **CLAIMRX, CLAIMLT, CLAIMIP, CLAIMOT**. These are paid claims files. The files are for prescription drugs (CLAIMRX), long term care (CLAIMLT), inpatient (CLAIMIP), and non-institutional services (CLAIMOT).These paid claims files contain information from adjudicated medical service-related claims. They have completed the State's payment processing cycle for which the state has determined it has a liability to reimburse the provider from IHCP funds. Claims records contain information on the types of services provided, providers of services, service dates, costs, types of reimbursement, and epidemiological variables. Each of the files first

undergoes a set of edits administered by the CMS. If the file passes these edits, an extract is created and then sent to Mathematica for further analysis. Once the file has passed this analysis, the file for that quarter is considered accepted. The current status of the MSIS file submission is as follows.

- **MSIS Tape Submission**

The CMS uses the MSIS to perform analysis and quality assurance checks on Indiana MMIS system Indiana*AIM* data. Creation and submission of these tapes in a timely manner support the fiscal agent work Scope.

This procedure prepares the MSIS tapes for shipment and ships the tapes to the CMS. There are five types of MSIS tapes

- ELIGIBLE (member eligibility data)
- CLAIMIP (inpatient claim data)
- CLAIMLT (long-term claim data)
- CLAIMRX (pharmacy claim data)
- CLAIMOT (outpatient claim data)

These tapes are submitted each quarter. They are written to 3480 cartridges per the CMS guidelines and are due to the CMS by the 45th day after the end of the federal quarter. When submitted, the tapes must be labeled and be accompanied by a completed *CMS Foreign Tape Login Transmittal* sheet.

Each tape has a *volser* number that serves to uniquely identify the cartridge. Note that more than one cartridge may be necessary to hold a given file.

The tapes are submitted to the CMS where they go through a two-step review process. The CMS completes one review and Mathematica completes another. If either of these reviews fail, the fiscal agent must correct any problems and resubmit the tapes. It is important to track the date each tape is sent as well as the date any comments or issues are reported by the CMS or Mathematica, and date when revised tapes are resubmitted to the CMS. Finally, keep track of the final approval date and final approval documentation.

Place a Request with Systems to Produce the Quarterly Tapes

1. Contact the MSIS support SE any time after the MAR process is closed for the quarter. A reasonable time frame is 30 days after the end of the quarter.

2. The fiscal agent's system analyst (SE) notifies the reporting (MAR) analyst when the tapes are complete. The SE delivers the tapes and the MSIS Tape log to the MAR analyst. The MSIS Tape log is a document that contains the *volser* number for each cartridge, as well as a record count for each cartridge.

Prepare the CMS Foreign Tape Login Transmittal Sheet

The CMS Foreign Tape Login Transmittal sheet acts as a packing slip for the cartridges that fiscal agent sends to the CMS. The template is called *msisworksht.xls*.

The sheet consists of two sections: a detail section where information about each cartridge is listed, and a second summary section listed at the bottom of the sheet. Follow these steps:

1. Complete the detailed section of the worksheet. List the tapes for a dataset in the same order that they are on the MSIS Tape log. This section consists of six columns:
   - *User ID:* Use default value on form.
   - *VOLSER:* Insert the VOLSER from MSIS Tape log.
   - *DATASET NAME:* Use the default for Column C. List the FFY being submitted for column D. List the quarter being submitted for Col E.
   - *File Type:* List the type of file being submitted. Valid values are CLAIMIP, CLAIMRX, CLAIMLT, CLAIMOT, and ELIGIBLE.
   - *Reel of #:* List the relative number of this tape in relation to the total number of tapes for that file (such as 2 of 5, 3 of 9, and so forth).
   - *Slot #:* Leave blank.
2. Use the MSIS Tape log to determine the total number of records that are being submitted for each file type. For example, if there are three cartridges for file type CLAIMRX and each cartridge contains 200 records, 600 records are being submitted for CLAIMRX. Always add the number of records per tape type and DO NOT rely on the total record counts shown on the MSIS Tape log.
3. Complete the summary section of the form. This section has one row for each type of tape:
   - Row 41 is used for ELIGIBLE tapes
   - Row 43 is used for CLAIMIP tapes
   - Row 45 is used for CLAIMLT tapes
   - Row 47 is used for CLAIMOT tapes
   - Row 49 is used for CLAIMRX tapes
4. Each row has columns for entering the following information for each type of file: In column F, enter the current date; in column H, enter the total records for that type of file. This is the record count obtained in Step 2.

5. As a high-level quality check, compare the number of records and number of tape cartridges on the CMS Foreign Tape Login Transmittal sheet to the following averages:

Table 1 – MSIS Tape Types

File Type	Number of Tapes	Number of Records
CALIMLT	1	545,426
CLAIMIP	1	46,713
CLAIMOT	10	11,508,491
CLAIMRX	3	2,974,814
ELIGIBLE	2	892,134

If a variance of more than 15 percent is found, the MAR analyst should recheck the work and consult with the MSIS SE to verify that the tapes have been prepared correctly.

Prepare Labels for Tapes

When Systems produces the tapes, they do not have labels. The purpose of this procedure is to produce the labels that are needed to identify the CMS tapes:

1. Obtain the MSIS Tape log that was used in step 2 in the preceding procedure.
2. Open the MSIS Tape template. This document contains the completed label information.
3. Using the MSIS Tape log, replace the values in the MSIS Tape template with the values that pertain to the tapes you are submitting. Each label consists of four lines. Complete each line as follows:
   - Line 1: Leave as is
   - Line 2: Leave as is
   - Line 3: Modify the YR, Qtr, and file type to reflect the tape you are submitting
   - Line 4: Modify the reel number information and Tot-records to reflect the tape being submitted. Note that the Tot-records refer to the total records for the file, not the total records on the individual tape. The reel information should agree with the reel information shown on the MSIS Tape log.
4. Print the labels.
5. Attach the labels to the cartridges. Attach the proper label to the proper cartridge. For example, the label that states it is 2 of 5 should be attached to the second tape as shown in the MSIS Tape log.

Submit Tapes to the CMS

1. Mail tapes to the CMS. Send the tapes and the *CMS Foreign Tape Login Transmittal Sheet* to CMS, using the approved method for sending protected health information (PHI).

> *Note: These files contain PHI and must be sent using the fiscal agent' guidelines for transmitting such data. Contact the account security manager to determine how this data should be sent.*

2. Mail a separate copy of the *CMS Foreign Tape Login Transmittal Sheet* to CMS under separate cover.
3. File a copy of the *MSIS Foreign Tape Login Transmittal Sheet,* the MSIS Tape log, and any shipping documents for future reference.

Follow Up on Any Errors or Questions Raised by CMS or Mathematica

After the CMS and Mathematica receive a file, the files are subjected to testing. As a result of this testing, either of these organizations may have questions. Some of these questions may uncover problems with the files that will require them to be resubmitted.

When the MAR analyst receives questions from the CMS or Mathematica, the analyst must work with the MSIS SE to develop the answers. The MAR analyst follows these steps:

1. Contact the individual asking the question to gain an understanding of the question.
2. Research the questions. Contact the MSIS SE if necessary. Determine the answer and supply the answer to the entity asking the question. Follow all the fiscal agent account guidelines when determining who to copy on the response.
3. If the questions uncover a fault with the tape that requires the tapes to be resubmitted, have the SE make the necessary changes and then recreate the tapes. Document the specific changes that were made. Resubmit the tapes to the CMS using the same steps from the preceding procedures. Where applicable, enter the problem that was uncovered into the Issue Management System for future reference.

Maintain the MSIS Tape Tracking Workbook

The MSIS Tape Tracking workbook maintains a history of our tape submissions, and provides management with a quick overview of our current tape submission status.

Layout of Tracking Workbook

As mentioned above, there are five types of MSIS tapes:

- ELIGIBLE
- CLAIMLT
- CLAIMOT
- CLAIMIP
- CLAIMRX

Each of these file types has two pages in the workbook. One is labeled “nnnnnnnn – Detail,” and one is labeled “nnnnnnnn – Support Log.” In addition, there is one sheet labeled “Summary.”

The “nnnnnnnn – Detail,” sheet contains a listing of all tapes submitted for that claim type. It includes the following columns.

Table 2 – Layout for the MSIS Tape Tracking Report

Column Name	Column Description
Quarter Ending	The quarter for which the tape contains data, expressed as MM/YYYY
FFY/Qtr	Quarter the tape contains data for, expressed in Federal Fiscal quarters. Format is yyyy / Federal Fiscal Quarter
Status	Most recent status of the submission. Valid values are: Inwork – file is being produced or processed by the fiscal agent, CMS, or Mathematica. It has not met either of the following two conditions: • Accepted – The file has been accepted by CMS and Mathematica. • Rejected – The file has been rejected by the CMS or Mathematica.
Date Submitted	The date the file was first sent to the CMS. Format MM/DD/YYYY
Pass CMS – Date	The date that the file was accepted by the CMS. Format MM/DD/YYYY
Pass CMS – Notification	The name of the person from the CMS that notified us that the file was accepted. Can also include method of notification.
Pass Mathematica – Date	The date that the file was accepted by Mathematica. Format MM/DD/YYYY
Pass Mathematica – Notification	The name of the person from the CMS or Mathematica that notified us that the file was accepted. Can also

	include method of notification.

The nnnnnnnn – support log is a sheet where you enter notes about the activities listed on the “Detail” sheet for that claim type. For example, if MSIS rejected a file, you would fill out the “Detail” sheet with the date of the rejection, and a high-level reason for the rejection. Then, make an entry in the “Support” sheet giving a more detailed reason why the file was rejected.

The workbook also contains a sheet titled “Summary.” This sheet contains one row for each quarter. Each row has one column for each file type. The purpose of this sheet is to provide a quick snapshot of where the fiscal agent is in the file submission process.

Updating the Workbook

Whenever a significant event occurs regarding these files, an entry must be made in one or more sheets. The following hypothetical example will show some of those events, and how they are recorded.

Table 3 – Recording Sample Events on the MSIS Tape Tracking Worksheet

Event	Detail	Supporting	Summary
File is created by the fiscal agent and sent to the CMS	Insert a new row into the spreadsheet. Note that new rows are added at the top. Fill in the Quarter Ending and FFY/QTR columns. Set the Status to InWork and set the Date Submitted to the date the file was sent to the CMS.	None	If necessary, create a new row for this Federal Fiscal quarter. Fill in the FFY and Quarter ending date. Set the value to “InWork” for the type of file you have created.
File is rejected by the CMS	Set the status column to “rejected”.	If necessary, add a row for the current month. Enter the reason that the file was rejected.	Set the value to “Rejected” for the type of file you have created.
File is resubmitted by the fiscal agent and sent to the CMS	Find the “Comment” column for the row that records the submission that was rejected and update the comment column	If necessary, add a row for the current month. Record the fact that the file was resubmitted.	Set the value to “InWork” for the type of file you have created.

Event	Detail	Supporting	Summary
	to indicate the date that this file was resubmitted. Insert a new row above the row for the last submission of this file/period. Fill in the Quarter Ending and FFY/QTR columns. Set the Status to InWork and set the Date Submitted to the date the file was sent to the CMS.		
File is accepted by the CMS and sent to Mathematica	Fill in the "Pass CMS-Date" and "Pass CMS – Notification" column for the row for the file/period that was accepted.	None	None
File is rejected by Mathematica	Set the Status column to Rejected.	If necessary, add a row for the current month. Enter the reason that the file was rejected	Set the value to "Rejected" for the type of file you have created.
The fiscal agent modifies the file and resubmits it to the CMS	Insert a new row above the row for the last submission of this file/Period. Fill in the Quarter Ending and FFY/QTR columns. Set the Status to InWork and set the Date Submitted to the date the file was sent to the CMS.	None	Set the value to "InWork" for the type of file you have created.
CMS accepts the file	Fill in the "Pass CMS-Date" and "Pass CMS – Notification" column for the row for the	None	None

Event	Detail	Supporting	Summary
	file/period that was accepted.		
Mathematica accepts the file	Fill in the “Pass Mathematica-Date” and “Pass Mathematica – Notification” column for the row for the file/period that was accepted.	None	Set the value to “Accepted” for the type of file you have created.

Table 4 – Full MSIS_Tape_Labels

File Details	
File Name	*Full MSIS_Tape_Labels.DOC*
Naming Convention	None
File Description	Template for labels used to submit MSIS tapes
File Location	*L:\Finance\MAR\MSIS\MSIS Tape Transmission forms*
Used in These Procedures	
Function	Procedure
Template	MSIS tape preparation

Table 5 – *CMS Foreign Tape Login Transmittal*

File Details	
File Name	*msisworksht.xls*
Naming Convention	None
File Description	Transmittal form used in sending MSIS tapes to the CMS
File Location	*L:\Finance\MAR\MSIS\MSIS Tape Transmission forms*
Used in These Procedures	
Function	Procedure
Template	MSIS tape preparation

Table 6 – MSISTapeTracker

File Details	
File Name	*MSISTapeTracker.xls*
Naming Convention	None
File Description	Contains worksheets that record the status of MSIS Tape submissions to the CMS
File Location	*I:\Repository\MAR\MSIS\MSIS Tape Tracker*
Used in These Procedures	
Function	Procedure
Input/Output	Output to the “Maintain the MSIS Tape Tracking workbook” procedure